

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	NYMX0001
	First Inventor	Bruce M. Horton
	Title	SYSTEM AND METHOD FOR SETTLING TRANSACTIONS ON AN ERODING BASIS
	Express Mail Label No.	EV322528906US

APPLICATION ELEMENTS	Commissioner for Patents Mail Stop Patent Application PO Box 1450 Alexandria, VA 22313-1450
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|--|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form<br>(submit an original and a duplicate for fee processing)<br>2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27<br>3. <input checked="" type="checkbox"/> Specification [ total pages <u>18</u> ]<br>(preferred Arrangement set forth below)<br>- Descriptive title of the Invention<br>- Cross References to Related Applications<br>- Statement Regarding Fed sponsored R&D<br>- Reference to sequence listing, a table, or a<br>computer program listing appendix<br>- Background of the Invention<br>- Brief Summary of the Invention<br>- Brief Description of the Drawings<br>- Detailed Description<br>- Claim(s)<br>- Abstract of the Disclosure<br>4. <input checked="" type="checkbox"/> Drawing(s) [ total sheets <u>8</u> ]<br>5. <input checked="" type="checkbox"/> Oath or Declaration [ total sheets <u>4</u> ]<br>a. <input checked="" type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d))<br>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br>Signed statement attached deleting<br>inventor(s) named in prior application,<br>see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b). | 6. <input type="checkbox"/> Application Data Sheet. (See 37 CFR 1.76<br>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table<br>or Computer Program (Appendix)<br>8. Nucleotide and/or Amino Acid Sequence Submission<br>(if applicable, all necessary)<br>a. <input type="checkbox"/> Computer Readable Form<br>b. <input type="checkbox"/> Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or<br>ii. <input type="checkbox"/> paper<br>c. <input type="checkbox"/> Statements verifying identity of above copies |
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ACCOMPANYING APPLICATION PARTS	
9. <input checked="" type="checkbox"/> Assignment Papers (coversheet/document(s))	
10. <input type="checkbox"/> 37 CFR. 3.73(b) Statement (when there is an assignee)	<input checked="" type="checkbox"/> Power of Attorney
11. <input type="checkbox"/> English Translation Document	
12. <input type="checkbox"/> IDS & Form 1449	<input type="checkbox"/> Copies of IDS Citations
13. <input type="checkbox"/> Preliminary Amendment	
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)	
15. <input type="checkbox"/> Certified Copy of Priority Document(s)	
16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	
17. <input type="checkbox"/> Other:	

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:   /   

Prior application information: Examiner:                      Group/Art Unit:                     

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

#### 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **25235** or ☐ Correspondence address below

Name					
Address					
City		State		ZIP	
Country		T leph ne		Fax	

Name (Print/Type)	Stuart T. Langley	Registration No.	33,940
(Signature)	<i>Stuart Langley</i>	Date	10/31/03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Bruce M. Horton, et al.

Serial No. \_\_\_\_\_

Filed: Herewith

For: SYSTEM AND METHOD FOR  
SETTLING TRANSACTIONS ON AN  
ERODING BASIS

Group Art Unit: [Not Yet Assigned]

Examiner:

CERTIFICATE OF MAILING BY EXPRESS MAIL

Mail Stop Patent Application  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Commissioner:

The undersigned hereby certifies that the following documents:

- Utility Patent Application Transmittal; ✓
- Utility Patent Application [Specification (14 pages); Claims (3 pages); Abstract (1 page); Drawings (8 sheets)]; ✓
- Declaration (executed); ✓
- Assignment with Recordation Cover Sheet; ✓
- Fee Transmittal with check in the amount of \$900.00; ✓
- Certificate of Mailing by Express Mail; and ✓
- Return Receipt Postcard. ✓

relating to the above application, were deposited as "Express Mail", Mailing Label No. EV322528906US, with the United States Postal Service, addressed to Mail Stop PATENT APPLICATION, Commissioner for Patents, PO Box 1450, Alexandria VA, 22313-1450, October 31, 2003.

10/31/03  
Date

10/31/03  
Date

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**FEE TRANSMITTAL  
for FY 2004****Complete if Known**

Application Number	
Filing Date	Herewith
First Named Inventor	Horton, et al.
Examiner Name	
Group / Art Unit	
Attorney Docket No.	NYMX0001

**TOTAL AMOUNT OF PAYMENT (\$)** **(\$900.00)****METHOD OF PAYMENT (check one)**1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:Deposit Account Number **50-1123**Deposit Account Name **Hogan & Hartson L.L.P.**

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility Filing Fee	<b>770.00</b>
1006 340	2006 170	Design filing fee	
1007 530	2007 265	Plant filing fee	
1008 770	2008 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

**SUBTOTAL (1) (\$770.00)****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
25	-20**= 5	X 18	= 90.00
3	-3**=	X	= 0
Multiple Dependent			= 0

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 84	2204 42	**Reissue independent claims over original patent
1205 18	2205 9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$90.00)****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 420	216 210	Extension for reply within second month	
117 950	217 475	Extension for reply within third month	
118 1,480	218 740	Extension for reply within fourth month	
128 2,010	228 1,005	Extension for reply within fifth month	
119 330	219 165	Notice of Appeal	
120 330	220 165	Filing a brief in support of an appeal	
121 290	221 145	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,330	241 665	Petition to revive - unintentional	
142 1,300	242 650	Utility issue fee (or reissue)	
143 480	243 240	Design issue fee	
144 640	244 320	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 770	246 385	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 770	249 385	For each additional invention to be examined (37 CFR § 1.129(b))	
179 770	279 385	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)****(\$40.00)****SUBMITTED BY Complete (if applicable)**Name (Print/Type) **Stuart T. Langley**

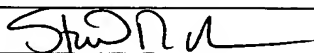
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Signature



Date

**10/31/03**